

**BY ORDER OF THE COMMANDER
AIR FORCE SPACE COMMAND**



**AIR FORCE SPACE COMMAND
INSPECTION CHECKLIST 33-22**

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***Communications and Information
RECORDS MANAGEMENT PROGRAM***

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This checklist reflects Command general guidance and responsibilities for the effective and efficient management of the Records Management program. Information concerning the Freedom of Information Act (FOIA) and Privacy Act (PA) Programs is outlined in AFSPCCL 33-12, ***Freedom Of Information Act (FOIA) And Privacy Act (PA) (Unit)***.

1. References have been provided for each critical item. Critical items have been kept to a minimum, and are related to public law, security, and/or mission accomplishment. While compliance with non-critical items is not rated, those items help gauge the effectiveness/efficiency of the function.
2. This publication establishes a baseline checklist. The Command Inspector General will also use this checklist during applicable assessments. Use the attached checklist as a guide only. **AFSPC level checklists will not be supplemented.** Units produce their own stand-alone checklists as needed to ensure an effective and thorough review of unit programs. Units are encouraged to contact the Command Functional OPR of this checklist to recommend additions or changes as deemed necessary. See **Attachment 1**.

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ATTACHMENT 1

RECORDS MANAGEMENT PROGRAM ASSESSMENT CHECKLISTS

Table A1.1. Installation Level Checklist.

SECTION 1. RECORDS MANAGEMENT (INSTALLATION LEVEL)			
MISSION STATEMENT: Provide comprehensive policy and procedures to ensure compliance with Department of Defense and Air Force directives, with associated Air Force Space Command supplements, relating to the installation records management program.			
Records Management			
1.1. CRITICAL ITEMS:	YES	NO	N/A
1.1.1. Has the Records Manager established a comprehensive records management program for the installation and appropriate geographically separated units? (AFI 33-322_AFSPC, <i>Records Management Program</i> , Supplement 1, paragraph 6)			
1.1.2. Does the Records Manager actively promote the protection, processing, and disposal of official records (paper-based and electronically maintained) in accordance with applicable records management directives? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1)			
1.1.3. Does the Records Manager review all base directives and forms before publication to ensure compliance with records management directives? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.1.7)			
1.1.4. Does the Records Manager actively enforce the creation, use, and maintenance of Records Information Management System generated files plan directory structures for the retention of all official records stored electronically? (<i>AFSPC Interim Electronic Records Management System Policy 98-002</i>)			
1.1.5. Is the Records Manager providing Records Information Management System training to organizations for which they have supporting responsibility? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.3.1)			
1.1.6. Does the Records Manager schedule and provide training of newly appointed Functional Area Records Managers and Records Custodians within 90 days of appointment? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.3.1.2)			
1.1.7. Does the Records Manager implement and operate both paper-based and electronic record keeping systems? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.3)			

CRITICAL ITEMS Cont:	YES	NO	N/A
1.1.8. Does the Records Manager schedule visits to Functional Area Records Managers and Records Custodians to ensure all offices of record receive staff assistance visits at least every 24 months? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.1.9)			
1.1.9. Does the Records Manager effectively supervise the Base Records Staging Area? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 7.4)			
1.1.10. Does the Records Manager ensure Privacy Act and For Official Use Only records are stored in a way that limits access only to individuals who meet stated requirements? (DoD 5400.7-R, paragraph C4.4. and paragraph C4.3.1)			
Records Information Management Systems			
1.2. NON-CRITICAL ITEMS:	YES	NO	N/A
1.2.1. Is the Records Manager implementing, maintaining, and operating Records Information Management System, the currently mandated AF Records Management software? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.1.5)			
1.2.2. Does the Records Manager have a documented plan to implement, maintain, and provide training needed to effectively migrate to a newly mandated ERMS? (AFI 37-123, <i>Management of Records</i> , paragraph 7.3.3.1)			
1.2.3. Is the Records Manager emphasizing electronic record-keeping awareness upgrade training in conjunction with Functional Area Records Manager (FARM) and Records Custodian (RC) orientation or refresher training? (<i>AFSPC Interim Electronic Records Management System Policy 98-002</i>)			
1.2.4. Does the Records Manager ensure new records management software versions and fixes are effectively tested? (AFI 37-123, <i>Management of Records</i> , paragraph 7.3.4)			
1.2.5. Does the Records Manager ensure problems and deficiencies to new records management software versions and fixes are documented prior to releasing the software or fix? (AFI 37-123, <i>Management of Records</i> , paragraph 7.3.4)			
1.2.6. Does the Records Manager assist and train Functional Area Records Managers and Chiefs of Office on software installation and operation and the use of software upgrades and new records management software? (AFI 37-23, <i>Management of Records</i> , paragraph 7.3.3)			

File Plans			
1.3. NON-CRITICAL ITEMS:	YES	NO	N/A
1.3.1. Does the Records Manager ensure file plan compliance with applicable directives? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.6)			
1.3.2. Does the Records Manager apply approval to the Records Information Management System file plan by its deadline and distribute automated copies to the applicable Functional Area Records Managers? (AFI 37-123, <i>Management of Records</i> , paragraph 2.2.1)			
1.3.3. Does the Records Manager process customer requests for assistance in locating disposition instructions and/or table and rule for specific records? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.1)			
1.3.4. Does the Records Manager seek, make recommendations, and resolve disposition challenges and inform customers of status and outcome in accordance with Air Force policy and guidance (e.g., disposition authority, tables, etc.)? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.1)			
1.3.5. Does the Records Manager ensure all approved file plans are maintained electronically where they are immediately available for evaluation and reference. File plans may be kept as paper documents? (AFI 37-123, <i>Management of Records</i> , paragraph 2.2.1.1)			
1.3.6. Does the Records Manager send copies of file plans to the individuals who need them in the maintenance of office of record files? (AFI 37-123, <i>Management of Records</i> , paragraph 2.2.1.1)			
Records Management Training			
1.4. NON-CRITICAL ITEMS:	YES	NO	N/A
1.4.1. Does the Records Manager provide supplemental training, e.g., Computer Based Instruction, as requested or approved by the Quality Assurance point of contact or Contracting Officer? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.3.1.2)			

Record Keeping Systems			
1.5. NON-CRITICAL ITEMS:	Yes	NO	N/A
1.5.1. Does the Records Manager implement and operate a record keeping system predicated on the current capability of the currently mandated Records Information Management System? (AFI 37-123, <i>Management of Records</i> , paragraph 2.1)			
1.5.2. Does the Records Manager implement and operate an electronic record keeping system predicated on the current capability of physical storage requirements and technologies, unit requirements and Command Conceptual Documents (Mission Need Statement, Operational Requirements Documents, Concept of Operations, etc.)? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.1.3)			
1.5.3. Does the Records Manager inform customers on regulatory processes of requesting imaging systems? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.1.2)			
1.5.4. Does the Records Manager inform customers on regulatory processes of requesting electronic record keeping systems? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.1.3)			
1.5.5. Does the Records Manager continuously promote, when at all feasible, documents imaging and electronic record-keeping systems? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.2)			
1.5.6. Does the Records Manager evaluate requests, recommend approval/disapproval to the Quality Assurance Point of Contact, and keep Offices of Primary Responsibility current on system updates and request statuses? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.4)			
Staff Assistance Visits			
1.6. NON-CRITICAL ITEMS:	YES	NO	N/A
1.6.1. Does the installation Records Manager file and maintain record of findings? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.9.5)			
1.6.2. Does the Records Manager file and maintain reports of staff assistance visit findings so they are available for review when requested by higher headquarters? (AFI 33-322_AFSPC Supplement 1, <i>Records Management Program</i> , paragraph 6.1.9.5)			

Records Staging Area			
1.7. NON-CRITICAL ITEMS:	YES	NO	N/A
1.7.1. Does the Records Manager extend staging support to tenant units in accordance with Memorandum of Agreements and Support Agreements? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.2.2)			
1.7.3. Does the Records Manager ensure the Records Staging Area facilities are capable and available to keep and dispose of records with a retention period of eight (8) years or less (to eliminate the expense of transporting them to Federal records centers)? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 7.1)			
1.7.4. Does the Records Manager properly complete and process Standard Forms 135, Records Transmittal and Receipt, schedule records shipments into the base staging area for Functional Area Records Managers, and assist customers with record transport and delivery? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 6.9)			
1.7.5. Does the Records Manager assist customers with subsequent temporary or permanent retrievals from the base staging area? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 7.7)			
1.7.7. Does the Records Manager comply with the requirements of the base recycling program for the destruction of Privacy Act and For Official Use Only records? ((DoD 5400.7-R_AF Supplement 1, <i>Air Force Freedom of Information Act Program</i> , paragraph C4.5.2.2)			
1.7.8. Does the Records Manager annually inventory staged records at each calendar year's end, make required annotations as directed in Air Force instructions and provide accountability and verification to the Quality Assurance point of contact within 10 days after inventory? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.2.3)			
1.7.9. Does the Records Manager retire all records for each installation or separate organizations to the appropriate Federal records center each year? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 3.2.1.2)			
1.7.10. Does the Records Manager combine shipments of records of permanent and long-term (9 years or more) value before transferring them to the appropriate Federal records centers? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 6.4.2.6)			

Base Destruction Facility			
1.8. NON-CRITICAL ITEMS:	YES	NO	N/A
1.8.1. Does the Records Manager operate and maintain the base Destruction Facility and its equipment? (44 U.S.C. Chapters 21, <i>National Archives and Records Administration</i> , 31, <i>Records Management by Federal Agencies</i> , and 33, <i>Disposal of Records</i> , reference (p) and DoD 5200.1-R, <i>Information Security Program</i> , paragraph C6.7.1.1)			
1.8.2. Does the Records Manager conduct initial customer training on Destruction Facility procedures and equipment and maintain a listing of qualified operators? (44 U.S.C. Chapters 21, <i>National Archives and Records Administration</i> , 31, <i>Records Management by Federal Agencies</i> , and 33, <i>Disposal of Records</i> , reference (p) and DoD 5200.1-R, <i>Information Security Program</i> , paragraph C6.7.1.1)			
1.8.3. Does the Records Manager ensure the appropriate operating instructions are posted in plain view on each machine? (44 U.S.C. Chapters 21, <i>National Archives and Records Administration</i> , 31, <i>Records Management by Federal Agencies</i> , and 33, <i>Disposal of Records</i> , reference (p) and DoD 5200.1-R, <i>Information Security Program</i> , paragraph C6.7.1.1)			
1.8.4. Does the Records Manager ensure individual(s) operating the facility maintain security clearances commensurate with the level of sensitivity of for which the facility is authorized? (44 U.S.C. Chapters 21, <i>National Archives and Records Administration</i> , 31, <i>Records Management by Federal Agencies</i> , and 33, <i>Disposal of Records</i> , reference (p) and DoD 5200.1-R, <i>Information Security Program</i> , paragraph C6.7.1.1)			

Table A1.2. Functional Area Level Checklist.

SECTION 2. RECORDS MANAGEMENT (FUNCTIONAL AREA LEVEL)			
MISSION STATEMENT: Manages Functional Area Records Management Programs and acts as liaison between the Installation Records Manager and Office of Record entities.			
2.1. CRITICAL ITEMS:	YES	NO	N/A
2.1.1. Do records exist providing evidence of the Functional Area Records Manager's efforts as the records management point of contact/monitor for their unit or functional area. (AFI 33-322, <i>Records Management Program</i> , paragraph 7.1)			
2.1.2. Does the Functional Area Records Manager ensure each office of record receives a documented staff assistance visit at least once every 24 months? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.4)			
2.1.3. Does the Functional Area Records Manager aggressively follow-up with the Chief of the Office of Record to ensure documented actions are accomplished to correct discrepancies noted during visits? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.4)			
2.1.4. Does the Functional Area Records Manager schedule training for personnel who maintain and dispose of records, as required? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.6)			
2.2. NON-CRITICAL ITEMS:	YES	NO	N/A
2.2.1. Are records available providing evidence of training for the Functional Area Records Manager? (AFI 33-322, <i>Records Management Program</i> , paragraph 6.3.1)			
2.2.2. Is the Functional Area Records Manager actively serving as the documented unit or functional area liaison with the Installation Records Manager? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.1)			
2.2.3. Does documentation revealing the Functional Area Records Manager's efforts in guiding and assisting Chief of the Office of Records and Records Custodians maintenance and disposition of records? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.2)			
2.2.4. Does the Functional Area Records Manager provide documented assistance to Chief of the Office of Records in preparing files maintenance and disposition plans? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.3)			
2.2.5. Does the Functional Area Records Manager effectively monitor offices of record actions toward promptly retiring eligible records? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.5)			

NON-CRITICAL ITEMS Cont:	YES	NO	N/A
2.2.6. Does the Functional Area Records Manager ensure the maintenance of accountability for such records? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.5)			
2.2.7. Does the Functional Area Records Manager assist the Installation Records Manager in providing guidance on using document imaging systems and electronic storage media for records? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.7)			
2.2.8. Does the Functional Area Records Manager evaluate the effect of document imaging and electronic storage on creating, transferring, storing, retrieving, and disposing of office records? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.7)			
2.2.9. Does the Functional Area Records Manager report problems to the Chief of the Office of Records and Installation Records Manager? (AFI 33-322, <i>Records Management Program</i> , paragraph 7.7)			

Table A1.3. Unit Level Checklist.

SECTION 3. RECORDS MANAGEMENT (UNIT LEVEL)			
MISSION STATEMENT: Manages the Records Management Program at the Unit Level (Office of Record.)			
3.1. CRITICAL ITEMS:	YES	NO	N/A
3.1.1. Critical Item - Does the office of record have an approved file plan? (AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2.1)			
3.1.2. Critical Item - Has records management training of the records custodian been documented? (AFI 33-322, <i>Records Management Program</i> , paragraph 8.4)			
3.1.3. Critical Item - Are eligible 3 year to permanent retention records being staged in a timely manner? (AFI 37-138, <i>Records Disposition -- Procedures and Responsibilities</i> , paragraph 7.1)			
3.1.4. Critical Item - Are file folders containing classified records marked with the highest classification front and back, top and bottom, and on the folder tab and label? (AFMAN 37-123, <i>Management of Records</i> , paragraph 4.3)			
3.2. NON-CRITICAL ITEMS:	YES	NO	N/A
3.2.1. Are all records in the office properly identified on the Records Information Management System file plan? (AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2)			
3.2.2. Does the custodian use the correct tables and rules from AFMAN 37-139, <i>Records Disposition Schedule</i> for each record series? (AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2.1)			
3.2.3. Does the location field in the Records Information Management System file plan show the actual location of classified and unclassified records maintained in a safe or other than in the filing cabinet? (AFMAN 37-123, <i>Management of Records</i> , paragraph 2.2)			
3.2.4. Do selected cutoff instructions match the disposition instructions? (AFMAN 37-123, <i>Management of Records</i> , paragraph 4.4)			
3.2.5. Are the contents of each drawer identified on the filing equipment drawer label? (AFMAN 37-139, <i>Records Disposition Schedule</i> , paragraph 3.7.6)			
3.2.6. Are disposition guide cards and Records Information Management System generated disposition control labels prepared for each record series on file for both active and inactive? (AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7)			

NON-CRITICAL ITEMS Cont:	YES	NO	N/A
3.2.7. Are records properly file coded before filing? (AFMAN 37-123, <i>Management of Records</i> , paragraph 4.1.1)			
3.2.8. Is one of the basic filing arrangements used? (AFMAN 37-123, <i>Management of Records</i> , paragraph 3.2.3.2.6)			
3.2.9. Are general correspondence and administrative files kept to a minimum and do not contain records covered by a specific table and rule in a separate series? (AFMAN 37-123, <i>Management of Records</i> , paragraph 3.3)			
3.2.10. Are files cut off and disposed of according to the disposition instructions in AFMAN 37-139, <i>Records Disposition Schedule</i> ? (AFMAN 37-123, <i>Management of Records</i> , paragraph 4.4)			
3.2.11. Are inactive files established? (AFMAN 37-123, <i>Management of Records</i> , paragraph 4.4)			
3.2.12. Are all series with annual cutoffs moved to inactive files? (AFMAN 37-123, <i>Management of Records</i> , paragraph 4.4)			
3.2.13. Is the year of accumulation shown on folder labels for records cutoff on an annual basis? (AFMAN 37-123, <i>Management of Records</i> , figure 3-1)			
3.2.14. Are disposition control labels placed on folders consistently throughout the files? (AFMAN 37-123, <i>Management of Records</i> , paragraph 3.7.1)			
3.2.15. Are disposition grouping codes used to designate the retention periods of records on approved electronic records systems? (AFMAN 37-123, <i>Management of Records</i> , Table 7.2.)			
3.2.16. Are diskettes labeled externally to show the name of the organizational unit, the table and rules from AFMAN 37-139, <i>Records Disposition Schedule</i> , a descriptive title of the contents, the dates of creation, and identification of hardware and software used? (AFMAN 37-123, <i>Management of Records</i> , paragraph 7.12.1)			